

# REQUEST FOR APPROVAL OF RECORDS RETENTION SCHEDULE

72 (REV. 3-84)

Submit three copies with three copies of  
the Records Retention Schedule, STD. 73.

TO: (1) DEPARTMENT OF GENERAL SERVICES  
OFFICE OF RECORDS MANAGEMENT  
(2) CHIEF, STATE ARCHIVES  
1020 O Street, Room 130  
Sacramento, CA 95814  
445-4293 or ATSS 485-4293

DEPARTMENT, BOARD OR COMMISSION  
Employment Development Department  
DIVISION, BUREAU OR OTHER UNIT  
Personnel Programs Division, MIC 54

BILLING CODE  
23336

ADDRESS  
800 Capitol Mall, Sacramento, CA

SCHEDULE NUMBER  
16

PAGE NUMBER(S)  
10

SCHEDULE DATE  
December 4, 1986

IF THIS IS A REVISION OF AN EXISTING SCHEDULE (including addition or deletion of pages), enter the following  
information from the EXISTING schedule:

SCHEDULE NUMBER  
16

Revision

PAGE NUMBER(S)  
6

SCHEDULE DATE  
9-12-83

APPROVAL NUMBER  
83-329

APPROVAL DATE  
9-19-83

## PART I—AGENCY STATEMENTS

As the person directly responsible for maintenance of the records listed on the attached schedule, I certify that I have reviewed the need for the records and that each retention period is necessary and correct as scheduled.

In accordance with Government Code 14755, approval of the attached Records Retention Schedule by the Department of General Services is hereby requested. Retention periods have been established by this agency after a careful evaluation of all the factors listed in Section 1667 of the State Administration Manual.

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the retention and disposal of records. (Per Section 1611 of the State Administrative Manual.)

SIGNATURE—PERSON DIRECTLY RESPONSIBLE FOR THE RECORDS

*Edgar A. ...*

TITLE  
Records Management Analyst

DATE  
12-10-86

SIGNATURE—RECORDS MANAGEMENT COORDINATOR

*Edgar A. ...*

TITLE  
Records Management Analyst

DATE  
12-10-86

TELEPHONE  
322-5555

## PART II—DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

The Department of General Services has no jurisdiction over entries made in Column 14 of STD. Form 73. Our approval covers Columns 1-13 and 15 only.

SIGNATURE

*Alman R. Ford*

APPROVAL NUMBER  
87-15

TITLE  
RMA

DATE  
1-16-87

## PART III—ARCHIVAL SELECTION (Per Government Code Section 14755)

### THE ATTACHED RECORDS RETENTION SCHEDULE:

☐ Contains no material subject to further review by the California State Archives.

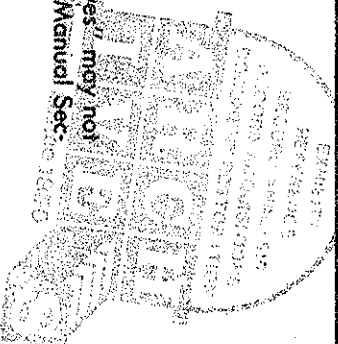
☒ Contains material subject to archival review. Items stamped "Hold/Notify Archives" may not be destroyed without clearance by the Secretary of State. (State Administrative Manual Section 1614)

SIGNATURE—CHIEF OF ARCHIVES

*John T. Burns*

DATE

MAR 19 1987



## RECORDS DISPOSITION SCHEDULE

STD. 78 (REV. 1/80)

See instructions on reverse  
and in SAM 1646-1646.7

DEPARTMENT (1)	SCHEDULE NUMBER (2)	DATE (3)
Employment Development Department	16	December 4, 1986
ORGANIZATIONAL UNIT	PAGE	OF PAGES (4)
Personnel Programs Division	1	10
ADDRESS (number, street, city)	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	
800 Capitol Mall, Sacramento		

ITEM NUMBER  (6)	CUBIC FEET  (7)	TITLE AND DESCRIPTION OF RECORDS  (8)	RETENTION (Number of years in addition to current year)					REMARKS  (14)
			OFFICE (9)	STORAGE			EXEMPT (13)	
				DEPT. (10)	SRC (11)	TOTAL (12)		
1	4	Exam History	4 yrs.			4 yr	X	Exempt per Government Code Section 18934.
2	4	Classification History	10			10		
3	1	Department Organization Changes	10			10		(Notify Archives) <del>Hold/Notify Archives.</del>
4	2	State Personnel Board Calendars	2			2		
5	2	Misc. Personnel Management Services Files						
		a) Out-of-class requests	4			4		
		b) Salary Rate Memos	2			2		
		c) Board of Control Recommendations	2			2		
		d) Overgrade	See Remarks					Retained until all overgrade employees have been reassigned or separated.
		e) Red Circle	2			2		
6	4	Special Studies	2-5			2-5		<del>Hold/Notify Archives.</del>
7	2	Correspondence a) Personal	2			2	XI	Contains names and home addresses.
		b) Business	1			1	XI	(Notify Archives) <del>Hold/Notify Archives.</del>
8	2	Conflict of Interests Files	7			7	XI	Retention of seven years sent by Government Code Section 81009.
9	1	Division Training Files	See Remarks					Retained until employee leaves division.

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ADDRESS (number, street, city) 800 Capitol Mall, Sacramento	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	

ITEM NUMBER	CUBIC FEET	TITLE AND DESCRIPTION OF RECORDS	RETENTION (Number of years in addition to current year)					REMARKS
			OFFICE	STORAGE			EXEMPT	
				DEPT. (10)	SRC (11)	TOTAL (12)		
(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
10		Form 100-836A Control Cards					X	Government Code Section 19705,18934
	1 8	a) Active b) Inactive	2 2			2 2		
11	7	Form 664 DT - Certifications	3			3	X	
12	10	Form 267A - Answer sheets	2			2	X	
13	18	Form 678 - Applications	3			3	XI	EDD Legal Section requires a 3 year retention due to 3-year statute for taking adverse action for fraud in securing employment.
14	1	Form 678 - Ethnic Stubs	1			1	X	
15	7	Exam folders (QAP, Ethnic Census, etc.)	2			2	X	
16	3	Correspondence	2			2	X	Notify Archives
17	4	Workers Compensation Files	4			4	XI	
18	2	Attendance Records (ARU 302) Form 672, Attendance Report DE3842, Leave Balance Report DE3693, Records Batch Transmittal DE3690, Leave Documents DE3691, Adjustable Document	5			5	XI	Retention of 5 fiscal years, or after audit. EDD maintains these documents in ledgers by calendar year. Using one ledger for each office (approx. 300 offices). Due to a large volume of documents, EDD goes full five years and purge the entire ledger rather than purge on a month - to - month basis.

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			OFFICE	STORAGE			EXEMPT	
				DEPT.	SRC	TOTAL		
(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
		DE3809, Sign-in Sheet Form 603, Report of Absences Without Pay Form 673, Report of Extra Hours to be paid Exception Listing Memos	5			5	XI	
19	5	Employer-Employee Relations Grievance Files Employee Assistance Program Strike Contingency Plans	4 3 1			4 3 1	XI	
20	1	DE3373 Record of Formal Training	1			1		
21	3	DE3555, Request for Outservice Training and Agreement	3			3		
22	1059	Personnel Payroll Records CD37 Payroll Trans. Registers CD38 Payroll Warrant Registers CD46 Shift Differential CD66 Report of Exceptions	Active +4			Active +4	XI	Retention of 5 fiscal years; or after audit. EDD maintains these documents in ledgers by calendar year. Using one ledger for each office (approx. 300 offices). Due to the large volume of documents, we go a full 5 years and purge the entire ledger rather than purge on a month- to-month basis.

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ADDRESS (number, street, city) 800 Capitol Mall, Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	

ITEM NUMBER	CUBIC FEET	TITLE AND DESCRIPTION OF RECORDS	RETENTION (Number of years in addition to current year)					REMARKS
			OFFICE	STORAGE			EXEMPT	
				DEPT.	SRC	TOTAL		
(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
22		STD 215 TAU Memorandum	1			1	XI	1 calendar year
		STD 243 Designation of person to Receive Warrants	current			Current		Current until supersided or cancelled
		STD 407 Change in Payroll Header	4			4		Retain for two years from end of fiscal year involved. Then two more fiscal years or until audited - which ever occurs first. (Maximum of four years)
		STD 410 Authorization for Payment of Premiums of Government Life Insurance By Payroll Deduction	current			current		Current, until supersided or cancelled.
		DE601 Staff Action Request	active +5			active +5		Five years from date of separation from State Service (Dept.)
		STD 603 Report of Absence Without Pay	5			5		Five calendar years or until audited (Ref. justification for form CD37 et. al).
		STD 607 Change in Established Positions	4			4		Retain for two years from end of fiscal year involved. Then retain for two more years or until audited. Which ever comes first, maximum of four years.

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ITEM NUMBER  (6)	CUBIC FEET  (7)	TITLE AND DESCRIPTION OF RECORDS  (8)	RETENTION (Number of years in addition to current year)					REMARKS  (14)
			OFFICE (9)	STORAGE			EXEMPT (13)	
				DEPT. (10)	SRC (11)	TOTAL (12)		
		STD 608 Established Position Record	current +2			current +2		Retain as "current" until record (permanent) position is abolished or reclassified. Then retention for two years from end of fiscal year involved.
		STD 608A Established Position	current +2			current +2		Retain as "current" until record (temporary) position is abolished or reclassified. Then retain for two years from end of fiscal year involved.
		STD 609(DE8631) Certification of Salary Adjustments and Controllers Tabulating Listing of Salary Adjustments	See Remarks					When denied, retain three salary adjustment years from date of denial. When approved, retain one year from effective date.
		STD 609A Certification for Merit Salary Adjustment	See Remarks					Approved, retain for one year from date of approval. Denied, retain for three years from date of denial.
		STD 611 Employee Record	active			active		Retain as "active" until employee separates from State service. Then retain according to the type of separation.
		STD 612 Employee Transfer Data	5			5		Five years from separation.
		STD 614 Signature Card	active			active		Until superseded or when employee separates.
		STD 616 Standard Clearance and Waiver	4			4		Retain for two years from end of fiscal year involved. Then retention of two more years or until audited, which ever comes first. Reason: Payroll files the STD 616 with STD 607 and STD 625. Therefore, these documents must have same retention schedul

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ADDRESS (number, street, city) 800 Capitol Mall, Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	

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			OFFICE (9)	STORAGE			EXEMPT (13)	
				DEPT. (10)	SRC (11)	TOTAL (12)		
		STD 625 Request for Certification	4			4		Same as STD 616
		STD 636 Report of Performance for Probationary Employees	See Remarks					Last three reports, combination of STD 636 & 637. Retention provides a more comprehensive picture of the employee when used for employment consideration.
		STD 637 Individual Development Plan	See Remarks					See STD 636
		STD 639 Salary Garnishment	active +4			active +4		Retain as "active" until garnishment is satisfied. Then retain for four years from end of pay period involved or until audit, whichever comes first.
		PERS 155, Notice of Change/ Certification of Contribution Rate	current			current		Retain as "current" until employee separates from State service.
		PERS 823 Certification of Correction - member Contribution and Collections Due	current			current		Retain as "current" until employee separates from State service, then retain according to type of separation.
		STD 642 Employee Leave Record	active +5			active +5		Five years after separation disciplinary action / retirement age 75.
		STD 642A Employee Leave Record	active +5			active +5		Same as STD 642

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			OFFICE (9)	STORAGE			EXEMPT (13)	
				DEPT. (10)	SRC (11)	TOTAL (12)		
		STD 645 Employee Suggestion (MAB)	active +1			active +1		Retain for one year from date of final decision by the Merit Award Board.
		STD 664 Certification of Eligibles	5			5		Five fiscal years.
		STD 672 Attendance Report	5			5		Five fiscal years or until audited. (See justification for CD37).
		STD 673 Authorization for Overtime	5			5		Five fiscal years or until audited. (See justification for CD37).
		STD 674 Payroll Adjustment Notice	5			5		Five fiscal years or until audited.
		STD 680 Personnel Action Request	active +6mo.			active +6mo.		Retain for a period of no less than 6 months following the close of the fiscal year in which the data was key entered to SCO data base.
		STD 680A Personnel Action Request (Padded "PAR")	active +6mo.			active +6mo.		Same as STD 680
		STD 686 Employee Action Request	active +6mo.			active +6mo.		Same as STD 680
		STD 689 Oath of Allegiance	current			current		Retain as "current" until employee separates from State service. Then retain according to type of separation.
		STD 691 Dental Enrollment Plan	current			current		Retain as "current" until superseded or cancelled.



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			OFFICE (9)	STORAGE			EXEMPT (13)	
				DEPT. (10)	SRC (11)	TOTAL (12)		
		STD 696 Dental Plan for Direct Pay While in Non-Pay	current			current		Same as STD 691
		STD 698 Life Insurance Enrollment Authorization	current			current		Same as STD 691
		SPB 100-678 Application for Employment	current +5			current +5		Five years from date of separation from Department.
		DE1228 Application for Employment	current +5			current +5		DE1228 replaced with SPB Form 678 effective 6/1975 retained 5 years from date of separation from Department.
		HB12 Health Benefit Plan	current			current		Retain as "current" until superseded or cancelled.
		HB21 Health Benefit Plan for Direct Pay while in Non-Pay status	current			current		Same as HB12
		DE2676 Request for Position Action	5			5		
		DE4589 Confirmation Notice Re Eligibility for Appointment	5			5		Five fiscal years
		DE8553 Revolving Fund-Salary	current +1			current +1		Current year plus 1 year.
		Notice of Personnel Action (NOPA)	current			current		Retain as "current" until superseded or cancelled.
		Revolving Fund Forms	5			5		5 calendar years. Payroll Unit retains same as the retention on warrant registers and other related documents.

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				DEPT.	SRC	TOTAL		
(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
23	700	Separation Records	current +5			current +5	XI	Resignation without fault, voluntary retirement, rejection on probation retained for three years from effective date of separation. Layoff - 5 years from effective date of separation. Disability retirement, termination by disciplinary action, resignation without fault, AWOL retained until person reaches age 70.
		Official Personnel Folders	active			active	XI	Retain as "active" until employee separates from State service. Then retain according to type of separation.
		DE7014 Leave Record	active			active		Same as "Official Personnel Folders".
24	129	DE7015 Employee Leave Record.	active			active		Same as "Official Personnel Folders". Note: Leave records are retained in "Official Personnel Folders".
		<u>Miscellaneous Records</u>	5			5	XI	
		DE8610 Employers Report of Industrial Illness/Injury						Retain 5 calendar years if no benefits are paid. Retain indefinitely if benefits are paid. Note: Closing a case does not preclude reopening, there is no statute to preclude reopening.
		DE7013 Absence Request	5			5		Five fiscal years or until audited.
		CAL-OSHA No. 200 Log and Summary of Occupational Injuries & Illness	See Remarks					Retain to age 70 if separation or retired.

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				DEPT. (10)	SRC (11)	TOTAL (12)		
		Merit Award Board Correspondence	5			5		Retained in Personnel Folder.
		Name Change File	5			5		
		STD 12 Employee Transfer Data	active			active		Retain as "active" until employee separates from State service, then retain according to the type of separation.
		DE7013 Leave Record	5			5		Five calendar years.
		Adverse Action	active			active		Retain until employee separates from State Service. Then retain according to the type of separation. (Per EDD Legal Staff)
		Correspondence (Related to a specific employee - job related)	active See Remarks			active		Retain letters of commendation and correspondence related to job related illness or injury, until employee separates from State service, then according to the type of separation. Retain all other correspondence 3 years from the date of issue (Per EDD Legal Staff)